



DEPARTMENT OF CORPORATIONS

JOB OPPORTUNITY

ARNOLD SCHWARZENEGGER, Governor

WAYNE STRUMPFER, Acting California Corporations Commissioner

SUNNE WRIGHT MCPEAK, Agency Secretary

Release Date: Oct. 17, 2005

CLASSIFICATION: CORPORATIONS EXAMINER (Will consider Auditor I applications)
2 Positions – San Francisco

FINAL FILING DATE: October 31, 2005 or UNTIL FILLED

SALARY: \$3746-5229 per month (If Auditor I, the salary is \$3529.00 per month.)

POSITION LOCATION: Securities Regulation Division
71 Stevenson St., Suite 2100, San Francisco, CA 94105

DUTIES AND RESPONSIBILITIES: Under the general direction of the Corporations Examiner IV (Supervisor), the Corporations Examiner/Auditor I perform technical and administrative duties to assure compliance with provisions of the Corporate Securities Law of 1968 and Code of Regulations. Typical duties include conducting field examinations of the division's licensees, investment advisers and broker-dealer offices. Examinations include review of books and records including financial statements to determine compliance with minimum net worth or net capital requirements set by State Law. Examinations also include a review of business operations and internal auditing procedures. Prepares comprehensive regulatory reports and detailed memorandums upon completion of the examination. Reviews responses from the licensees to the regulatory reports issued. Other duties include evaluating annual financial report filings for compliance with financial requirements and reviewing amendments and annual updates to applications for accuracy. Conducts enforcement or "for cause" examinations which target specific area of problems and investigate complaints by investors filed against licensees. Gathers evidence for possible enforcement actions. This position requires extensive traveling.

DESIRABLE QUALIFICATIONS.

- ◆ Knowledge of Generally Accepted Accounting Principles and Generally Accepted Auditing Standards.
- ◆ Knowledge of the rules and regulations administered by the Securities Regulation Division.
- ◆ Knowledge of personal computers, familiarity with Microsoft Word and Excel and other computer programs.
- ◆ Dependability and the ability to adjust to shifting priorities and meeting deadlines.
- ◆ Ability to communicate well both orally and in writing.
- ◆ Willingness to accept additional responsibilities.
- ◆ Ability to work independently, with good interpersonal skills and a willingness to travel.

WHO MAY APPLY – EMPLOYEES CURRENTLY AT THE AUDITOR I or CORPORATIONS EXAMINER LEVEL, THOSE WITHIN TRANSFER RANGE OR HAVE LIST ELIGIBILITY WHO ARE REACHABLE (IN THE TOP THREE RANKS), AND EMPLOYEES WITH SURPLUS OR SROA STATUS AT THE CORPORATIONS EXAMINER LEVEL ARE ENCOURAGED TO APPLY. For further technical information regarding the position, please contact Sandra Ramayla at (415) 972-8580 or CALNET 8-972-8580. **PLEASE SEND A COMPLETED APPLICATION TO THE PERSON AND ADDRESS PROVIDED BELOW.** (Please include your social security number for eligibility verification and indicate RPA # 05 SRD0014, 0015 under the job title).

SUBMIT APPLICATION AND RESUME TO: Department of Corporations
Attention: HR - Kiley Hanchen RPA # 05-SRD0014-0015
1515 K Street, Suite 200
Sacramento, CA 95814
(916) 327-8914 or CALNET 8-467-8914

RPA #05 SRD0014, 0015-JR

AN EQUAL OPPORTUNITY EMPLOYER - EQUAL OPPORTUNITY TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.